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California Emergency Management Agency

March 30, 2009

Paul Ireland
Emergency Services Manager
County of Monterey
1322 Natividad Road
Salinas, CA 92906

Monitoring Report #M08-051

Dear Mr. Ireland:

The California Emergency Management Agency (CalEMA) Monitoring and Audits Unit, Program Monitor, Mohammad Mokarram conducted a monitoring review for the purpose of monitoring the County of Monterey Grant Programs. I wish to thank you and your staff for the courtesy extended to Mr. Mokarram during the review process. Enclosed, you will find the monitoring report for the following grants:

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
2005-0015 #053-00000	FY05 Homeland Security Grant Program (HSGP)	10/01/04 - 10/07/08	\$1,078,121
2006-0071 #053-00000	FY06 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/08	\$810,431
2007-0008 #053-00000	FY07 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/08	\$819,238

The monitoring included a review of staffing needs, operational practices, source documentation, activities, and data reporting requirements. In addition, the monitors examined the grant for compliance with federal financial, administrative and auditing requirements, program guidelines, and other mandates as applicable. Finally, the monitors performed a selected review of accounting records that support the amounts claimed in your reimbursement requests. Project expenditures were validated to provide reasonable assurance that expenses are related to the grant, proper records are maintained, and expenditures are properly authorized and recorded.

As a reminder, the purpose of monitoring is to assist projects in the achievement of their goals and aiding them in administering their grant funds in the most effective and efficient manner. The monitoring is used as a tool to assist the subgrantee in complying with these requirements. Your CalEMA Program Representative will receive a copy of the monitoring report. Their name and phone number are identified on the face sheet of the report.

If the monitoring report does not identify any findings, a Corrective Action Plan is not necessary and the monitoring process is complete.

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If any findings are identified in the monitoring report, you will have 120 days from the last day of the monitoring review to submit a Correction Action Plan to the Program Monitor.

Required Corrective Action Plan: No

When corresponding to our office regarding this monitoring report, please include the monitoring control number on all correspondence. Send your response to:

California Emergency Management Agency
Grants Administrative Section
Monitoring & Audits Unit
State Capitol
Sacramento, California 95814

Thank you for your participation in the monitoring process. If you have any questions regarding this letter or the attached report, please feel free to contact Mohammad Mokarram 916-322-1901.

Sincerely,



Brendan Murphy
Deputy Director

Attachment

cc: Maybel Garing, Program Representative
Monitoring & Audits Unit, chron file
Grants Management Unit, grant file

Monitoring Report Response Form

TO: California Emergency Management Agency Grant Numbers: FY05-0015, FY06-0071, FY07-0008

Grants Management Section
Attention: Monitoring & Audits Unit
State Capitol
Sacramento, CA 95814

Monitoring Control M08-051
Number:

Response Due: None required



CALIFORNIA EMERGENCY MANAGEMENT AGENCY MONITORING NARRATIVE REPORT

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
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Monterey County Operational Area

AUTHORIZED AGENT:	Paul Ireland	ADDRESS:	1322 Natividad Road Salinas, CA 92906
CONTACT EMAIL:	irelandp@co.monterey.ca.us		
CONTACT PHONE NUMBER:	831-796-1903		
ALTERNATE POINT OF CONTACT:	Bertha Simpson		
CONTACT EMAIL:	simpsonb@co.monterey.ca.us		
PROGRAM REPRESENTATIVE:	Maybel Garing	E-mail:	Maybel.garing@ohs.ca.gov
PHONE NUMBER:	916-324-9312		
PROGRAM MONITOR:	Mohammad Mokarram	E-mail:	mohammad.mokarram@ohs.ca.gov
PHONE NUMBER:	916-322-1901	DATE OF MONITORING:	02/03/2009

PERSONS INTERVIEWED DURING MONITORING VISIT

NAME	TITLE	AGENCY
Paul Ireland	Emergency Services Manager	Monterey County OES
Bertha Simpson	Grant Administrator	Monterey County OES

Prepared by: Mohammad Mokarram
Mohammad Mokarram, Program Monitor, Monitoring & Audits Unit

3/30/09
Date

Approved by: Brendan Murphy
Brendan Murphy, Deputy Director

4/7/09
Date

Monterey County Operational Area

Monitoring Report

Monitoring Report Summary	Total # of Items in Category	In Compliance	Not in Compliance	Not Monitored	Not Applicable	Total
A. Administrative Review						
Review of Audit Reports	2	1			1	2
Grant Assurances	1	1				1
Grant Approval Notification	2	2				2
Performance Reports	1	1				1
Homeland Security Strategies	1	1				1
Publication of Published Materials	1	1				1
B. Programmatic Review						
Program Goals and Objectives	2	2				2
Exercise	2	2				2
Training	1	1				1
Planning	1	1				1
C. Financial Management						
Accounting System	8	8				8
Distribution of Funds	1	1				1
Advance of Funds	2	2				2
Change Requests/Modifications	2	2				2
Maintenance of Records	1	1				1
D. Fiscal: Personnel Services						
Management and Administrative Services	3				3	3
Overtime/Back Fill	3	3				3
E. Fiscal: Procurement						
Responsibility	1	1				1
Methods of Procurement	4	4				4
F. Fiscal: Equipment & Property Management						
Equipment Purchases	3	3				3
Property Management & Records Keeping	2	2				2
G. Subgrantee Monitoring & Oversight						
Subrecipient single audit requirements	1				5	5
Management and Administrative Responsibility	1					0
Overtime/Backfill/CTO Responsibility	1					0
Procurement Responsibility	1					0
Equipment & Property Management Responsibility	1					0
Total	49	40	0	0	9	49

Monterey County Operational Area

Monitoring Report

PROGRAM SUMMARY

Corrective Action Plan: Not Required.

MONITORING REPORT DETAIL

- A. Administrative Review:** Subgrantee in compliance (6 items); Not applicable for Subgrantee (1 item).
1. **Review of Audit Report:** Subgrantee in compliance (1 item); Not applicable for Subgrantee (1 item).
 - a. Audit reports submitted as required. Subgrantee in compliance (1 item).
 - b. Findings noted and corrective action plan addressed. Not applicable for Subgrantee (1 item).
 2. **Grant Assurances:** Subgrantee in compliance (1 item).
 3. **Grant Approval Notification:** Subgrantee in compliance (2 items).
 4. **Performance Reports:** Subgrantee in compliance (1 item).
 5. **Homeland Security Strategies:** Subgrantee in compliance (1 item).
 6. **Publication of Materials:** Subgrantee in compliance (1 item).
- B. Programmatic Review:** Subgrantee in compliance (6 items)
1. **Program Goals & Objectives:** Subgrantee in compliance (2 items).
 2. **Exercise:** Subgrantee in compliance (2 items)
 3. **Training:** Subgrantee in compliance (1 item).
 4. **Planning:** Subgrantee in compliance (1 item).
- C. Financial Management:** Subgrantee in compliance (9 items).
1. **Accounting System:** Subgrantee in compliance (9 items).
 - a. Financial Reporting: Subgrantee in compliance (1 item).

Monterey County Operational Area

Monitoring Report

- b. Source Documentation: Subgrantee in compliance (1 item).
- c. Double Billing: Subgrantee in compliance (1 item).
- d. Supplanting: Subgrantee in compliance (1 item).
- e. Accounting Basis: Subgrantee in compliance (1 item).
- f. Commingling of Funds: Subgrantee in compliance (1 item).
- g. General Ledger Accounting Structure: Subgrantee in compliance (1 item).
- h. Costs Directly Related: Subgrantee in compliance (1 item).
- 2. **Distribution of Funds**: Subgrantee in compliance (1 item).
- 3. **Advance of Funds**: Subgrantee in compliance (2 items).
- 4. **Change Request/Modifications**: Subgrantee in compliance (2 items).
 - a. Prior Approval: Subgrantee in compliance (1 item).
 - b. Retention: Subgrantee in compliance (1 item).
- 5. **Records Maintenance**: Subgrantee in compliance (1 item).
- D. **Fiscal Personnel Services**: Subgrantee in compliance (3 items); Not Applicable to Subgrantee (3 items).
 - 1. **Management and Administrative Services**: Subgrantee in compliance (3 items); Not applicable for Subgrantee (3 items).
 - a. Allocation: Not applicable for Subgrantee (1 item).
 - b. Allowable Costs/Activities: Not applicable for Subgrantee (1 item).
 - c. Functional Timesheets: Not applicable for Subgrantee (1 item).
 - 2. **Overtime/Backfill and/or CTO**: Subgrantee in compliance (3 items).

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Monitoring Report

E. Fiscal Procurement: Subgrantee in compliance (5 items).

2. **Methods of Procurement:** Subgrantee in compliance (4 items).

F. Fiscal Equipment & Property Management: Subgrantee in compliance (4 items); Subgrantee not in compliance (1 item).

1. **Equipment Purchases:** Subgrantee in compliance (3 items).

2. **Property and Records Keeping:** Subgrantee in compliance (2 item).

a. Inventory Control: Subgrantee in compliance (1 item).

b. Property Management: Subgrantee in compliance (1 item).

G. Subgrantee Monitoring & Oversight: Not applicable for Subgrantee (5 items).